

**DEPARTMENT OF CORPORATIONS**  
**Enforcement Division****GUIDELINE FOR COMPLETING THE COMPLAINT FORM**

Before filling out the attached complaint form, please take the time to read these guidelines; they will help you to understand our functions, and we will be better able to understand and act on your complaint.

**WHAT WE CAN DO:**

- a) We investigate complaints against persons, business entities, and corporations accused of violating the licensing or anti-fraud provisions of laws administered by the Department. We are empowered to bring administrative or civil actions to stop these violations, and, in appropriate cases, to refer matters to the district attorneys for criminal prosecution.
- b) We investigate complaints for alleged violations of the following California laws:

California Commodity Law of 1992  
California Finance Lenders Law \*  
Check Sellers, Bill Payers and Proraters Law  
Commercial Finance Lenders Law \*  
Consumer Finance Lenders Law \*  
Corporate Securities Law of 1968  
Escrow Law  
Franchise Investment Law  
Personal Property Brokers Law \*

\* The Commercial Finance Lenders, Consumer Finance Lenders, and Personal Property Brokers Laws were "merged into" a new law, the California Finance Lenders Law, effective July 1, 1995.

**WHAT WE CANNOT DO:**

a) We cannot act as a court of law, so we cannot order that monies be refunded, contracts be cancelled, damages be awarded, etc. If you have this type of problem, you should consult an attorney.

b) We cannot give legal advice or act as your attorney.

**HOW YOU CAN HELP US:**

- a) Summarize your complaint using these guidelines:  
Include how you first learned of the investment. (ad, personal contact).
1. Tell us WHAT happened. Start from the beginning. Be specific as to what was said and who said it.
  2. Tell us WHO was present during these conversations or acts.
  3. Tell us WHEN and WHERE these conversations/acts took place.
  4. Tell us WHEN and WHERE the money and agreements changed hands.
  5. Tell us HOW you know the representations were false or HOW you know your money was misused.
- b) Documentary evidence is especially important, therefore, you should photocopy all documents such as contracts, agreements, certificates, notes, trust deeds, correspondence, legible copies of the front and back of checks involved, escrow documents, advertising, etc., and attach them to the written complaint. (Please do not send originals; we cannot be responsible for their safekeeping.)
- c) Type or print clearly in ink.
- d) If you have any questions concerning this form, you may call (213) 576-7643 (Los Angeles) or (415) 557-8864 (San Francisco) during regular business hours.
- e) Upon completion of all sections, please mail the form along with your supporting documents to:

Enforcement Division  
Department of Corporations  
320 West 4<sup>th</sup> Street, Suite 750  
Los Angeles, CA 90013-1105

Enforcement Division  
Department of Corporations  
1390 Market Street, Suite 810  
San Francisco, CA 94102-5303

STATE OF CALIFORNIA  
BUSINESS TRANSPORTATION AND HOUSING AGENCY  
DEPARTMENT OF CORPORATIONS  
COMPLAINT FORM

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1. Your full name (print) (Identifies you as the Complainant)

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Your residence address (Street, City, State and Zip Code)

County

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Your business address (Street, City, State and Zip Code)

County

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Your occupation

Business phone #

Residence phone #

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I DECLARE I HAVE A COMPLAINT AGAINST:

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2. Full Name of business, company, firm, or person

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Street address of business (Room #, Suite #, or Apt. #, if any)

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City

State

Zip Code

County

Business Phone #

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3. Full name of salesperson, agent or other representative

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Employed By:

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4. Have you had a previous business or personal relationship with the firm or any of its partners, officers, directors or controlling persons?

☐ No

☐ Yes

☐ Business

☐ Personal

How Long? \_\_\_\_\_

If YES, and the relationship was a business relationship, please provide exact name of entity invested in, amount invested and type of interest received, and indicate the nature and duration of the relationship. If the relationship was personal, please indicate the nature and duration of the relationship and who it was with.

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5. Date(s) of transaction (investment) \_\_\_\_\_

How and when did you first hear of the investment opportunity (e.g. Ad in LA Times on\_\_\_\_\_, personal contact by\_\_\_\_\_).

Place(s) where transaction(s) occurred	Amount(s) invested
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6. Have you contacted the business or person regarding your complaint?

☐ No      ☐ Yes      Date(s) \_\_\_\_\_

If YES, person(s) contacted \_\_\_\_\_

Results of Contact: \_\_\_\_\_

7. Have you filed this complaint with another law enforcement or consumer protection agency? If YES, provide name and address of agency, and the person handling it.

☐ No      ☐ Yes

8. Have you or any other victims filed a civil action (lawsuit) in any court? If YES, provide name of county/case number/date. Provide copy of court documents.

☐ No      ☐ Yes

9. Are you willing to appear as a witness, be sworn, testify and be cross-examined concerning the allegations made in this complaint?

☐ No      ☐ Yes

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If NO, give reasons

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10. A. Please estimate your net worth excluding home, home furnishings, and automobiles, and check the appropriate box.

☐ \$10,000 - \$50,000      ☐ \$50,001- \$150,000      ☐ \$150,001 - \$250,000  
☐ \$250,001 - \$500,000      ☐ \$500,001 - \$1,000,000      ☐ over \$1,000,000

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10. B. Please estimate your annual gross income for the last two years.  
Recent year (check one box only)

☐ Under \$25,000      ☐ \$25,001 - \$75,000      ☐ \$75,001 - \$125,000  
☐ \$125,001- \$200,000      ☐ \$200,001 - \$300,000      ☐ over \$300,000

Prior year (check one box only)

☐ Under \$25,000      ☐ \$25,001 - \$75,000      ☐ \$75,001 - \$125,000  
☐ \$125,001- \$200,000      ☐ \$200,001 - \$300,000      ☐ over \$300,000

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11. Please explain in detail your previous investment experience. Indicate type of investment, amount invested and date of investment.

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12. Did you rely on the business or financial experience of someone other than yourself.  
If YES, who? Please detail.

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13. List names, addresses and phone numbers of other individuals who may have invested,  
or may have further knowledge of the investment.

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14. Copies of the following documents (as checked below) are attached to, incorporated and made  
apart of this complaint.

<u>Type of Document</u>	<u>Attached</u>	<u>Not Available</u>
Advertising Materials	<input type="checkbox"/>	<input type="checkbox"/>
Agreements/Contracts	<input type="checkbox"/>	<input type="checkbox"/>
Promissory Notes (If any)	<input type="checkbox"/>	<input type="checkbox"/>
Cash Receipts	<input type="checkbox"/>	<input type="checkbox"/>
Cancelled Checks (Front & Back)	<input type="checkbox"/>	<input type="checkbox"/>
Escrow Instructions, Amendments & Closing Statements, (If any)	<input type="checkbox"/>	<input type="checkbox"/>
Copies of all documents which relate to your complaint and which are not listed above	<input type="checkbox"/>	<input type="checkbox"/>

15. In a brief statement tell us the full story beginning with date of first contact to present. Keep dates  
of events in sequence and include misrepresentations. (Refer to attached guidelines for further instructions.)

NOTE: Include full names of individuals, including all witnesses present during the transaction(s). Be factual. Try  
to answer the questions "who", "what", "where" and "when". Attach extra sheets if more space is needed.

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I DECLARE UNDER PENALTY OF PERJURY UNDER THE LAWS OF THE STATE OF CALIFORNIA  
THAT THE FOREGOING STATEMENTS AND PHOTOCOPIES OF ATTACHED DOCUMENTS ARE TRUE  
AND CORRECT.

Signature of Complainant

NOTICE REQUIRED BY THE INFORMATION PRACTICES ACT OF 1977

(Section 1798.17 of the California Civil Code)

- (a) The State of California, Department of Corporations, Enforcement Division, requests the information solicited the forms attached to this notice.
- (b) The Department's Assistant Commissioner, Administration and Organization Development, 980 Ninth Street, 500, Sacramento, California 95814-2719, (916) 445-5541, is responsible for the system of records and shall, upon request, inform an individual regarding the location of his or her records and the categories of any persons who use the information in those records.
- (c) The records are maintained pursuant to one or more of the following statutes: Bucket Shop Law, Corporations Code section 29000 et seq.; California Commodity Law of 1990, Corporations Code section 29500 et seq.; California Finance Lenders Law, Financial Code section 22000 et seq.; California Residential Mortgage Lending Act, Financial Code section 50000 et seq.; Check Sellers, Bill Payers and Proraters Law, Financial Code section 12000 et seq.; Corporate Securities Law of 1968, Corporations Code section 25000 et seq.; Escrow Law, Financial Code section 17000 et seq.; Franchise Investment Law, Corporations Code section 31000 et seq.; Knox-Keene Health Care Service Plan Act of 1975, Health and Safety Code section 1340 et seq.; Securities Depository Law, Financial Code section 30000 et seq.; and the California Right to Financial Privacy Act, Government Code section 7460 et seq.
- (d) The submission of all items of information is voluntary.
- (e) The Enforcement Division of the Department of Corporations does not contemplate taking official action against you to compel production of the requested information if all or any part of the requested information is not provided.
- (f) The principal purposes within the Department of Corporations for which the information is to be used is as part of the process to determine whether (1) a license, qualification, registration, or other authority should be granted, denied, revoked, or limited in any way; (2) business entities or individuals licensed or regulated by the Department of Corporations are conducting themselves in accordance with the applicable laws; and/or (3) laws administered by the Department of Corporations are being or have been violated and whether administrative action, civil action, or referral to appropriate federal, state, or local law enforcement or regulatory agencies is appropriate.
- (g) Any known or foreseeable disclosures of the information pursuant to subdivisions (e) or (f) of section 1798.24 include transfers to other federal, state, or local law enforcement or regulatory agencies and conveyances to persons who are subjects of the complaint.
- (h) Subject to certain exceptions or exemptions, the Information Practices Act grants an individual a right of access to personal information concerning the requesting individual which is maintained by the Department of Corporations. However, section 6254 of the Government Code provides that records of complaints to or investigations conducted by the Department of Corporations are exempt from disclosure except as required by law. Additionally, section 1040 of the Evidence Code provides a privilege against disclosure of official information.